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PTO/SB/21 (04-04) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 10/667,633 **TRANSMITTAL** Filing Date September 22, 2003 **FORM** First Named Inventor Cave et al. Art Unit 2681 (to be used for all correspondence after initial filing) **Examiner Name** Not Yet Known Attorney Docket Number I-2-0390.1US Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication Fee Transmittal Form Drawing(s) to Technology Center (TC) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Petition Amendment/Reply (Appeal Notice, Brief, Reply Brief) Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Other Enclosure(s) (please Terminal Disclaimer Extension of Time Request Identify below): Copy of International Search Report, Form Request for Refund Express Abandonment Request PTO-1449 and copy of reference cited thereon. CD, Number of CD(s) Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm C. Frederick Koenia III Reg. No. 29,662 Individual name Volpe and Koenig, P.C. Signature Date July 16, 2004 CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Typed or printed name C. Frederick Koenig III

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature

Date

July 16, 2004

Our File: I-2-0390.1US

Date: July 16, 2004



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

Cave et al.

Application No.: 10/667,633

Confirmation No.: 1103

Filed:

September 22, 2003

For: MOBILE COMMUNICATIONS

SYSTEM AND METHOD FOR PROVIDING MOBILE UNIT HANDOVER IN WIRELESS

COMMUNICATION SYSTEMS THAT EMPLOY BEAMFORMING ANTENNAS

Group:

2681

Examiner:

Not Yet Known

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Further to Applicants' Duty of Disclosure pursuant to 37 C.F.R. §1.56, Applicants wish to bring to the Examiner's attention the material cited on the enclosed PTO-1449 form. Copies of the cited documents are enclosed.

The undersigned certifies that items AA-AF of information contained in this Information Disclosure Statement were cited in a Search Report, copy enclosed, in a corresponding International Application. Each item AA-AF is designated as category "X" document of particular relevance.

Applicant: Cave et al. Application No.: 10/667,633

Pursuant to Pre-Official Gazette Notice signed July 11, 2003 waiving the requirements under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003, copies of the cited U.S. documents have not been included. Copies of all other cited references are enclosed.

It is respectfully requested that the Examiner consider these documents and return an initialed copy of the PTO-1449 form indicating his consideration of the cited materials.

Respectfully submitted,

Cave et al.

2 1 L 2

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CFK/rw Enclosures (3)



Sheet 1 of 1 FORM PTO-1449 ATTY. DOCKET NO. SERIAL NO. I-2-0390.1US 10/667,633 U.S. DEPARTMENT OF COMMERCE **APPLICANT** PATENT AND TRADEMARK OFFICE Cave et al. INFORMATION DISCLOSURE **FILING DATE GROUP** STATEMENT BY APPLICANT September 22, 2003 2681 (Use several sheets if necessary) **U.S. PATENT DOCUMENTS** EXAMINER INITIAL FILING DATE IF APPROPRIATE DOCUMENT NUMBER DATE NAME CLASS SUBCLASS AA Perry 4,723,266 02/1998 AB 5,634,192 05/1997 Meche et al. AC 04/1999 5,893,033 Keskitalo et al. AD 6,014,565 01/2000 **Bonta** ΑE 6,088,590 07/2000 Anderson et al. AF 6,445,917 09/2002 Bark et al. FOREIGN PATENT DOCUMENTS TRANSLATION DOCUMENT NUMBER DATE CLASS SUBCLASS COUNTRY YES AG 2004/054153 06/2004 **PCT** OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED